

# **Self-Assessment Toolkit for International Y2K Risk**

*Developed for APEC*



**BOOK TWO – APPENDICES  
BLANK TEMPLATES**

June 18, 1999

**Template 1 - Sector Profile Table**

**Responding Country:**  
**Sector:** CUSTOMS

					% of Organizations that have Completed Y2K Efforts for Mission Critical Operations									
					Current					Estimated as of Sept. 30, '99				
Segment	# of Organ- izations	Total Y2K Budget	Total Y2K Expenditures to Date	% of Expenditures to Budget	Assessment	Remediation	Test	Deploy	Contingency Planning	Assessment	Remediation	Test	Deploy	Contingency Planning
Port Authorities & Facilities														
Regulatory Agencies														

**Template 2 – National Sector Risk Checklist****Responding Country:****Sector:** CUSTOMS

<b>CUSTOMS</b>	
Y __ N __ N/A __	C1-a. Are the metrics for a sector profile readily available?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	C1-b. Are expenditures to date consistent with phases completed?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	C1-c. Has senior management in each organization shown its commitment to adequate resources and funding to support their respective Y2K strategy?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	C1-d. Have the organizations established a formal office from which to manage Y2K issues?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	C1-e. Have sector organizations developed strategies for achieving Y2K readiness?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	C1-f. Did a government or industry group with oversight responsibility for this sector recommend guidelines for dealing with Y2K issues?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:

Y __ N __ N/A __	C1-g. If digital automation is used in any way in this sector, have the organizations completed and prioritized inventories in all of the following areas?: Software Hardware Facilities & Equipment Business Partners
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	C1-h. Have sector organizations provided tangible evidence of having completed testing?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	C1-i. Have organizations completed deployment of Y2K modifications in their daily business operations?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	C1-j. Have formal, documented Y2K contingency plans been developed for this sector's organization?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	C1-k. Have the Contingency Plans been reviewed by independent entities with regard to issues such as Triggers, clear assignment of responsibility, testing of plans, etc.?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	C2-a. Is current tariff information available in hard copy at each port?
If no, list the	Comments:

impact, if any, of this gap? HI__MED__LO__	
Y__N__N/A__	C2-b. Are current import/export regulations available in hard copy at each port?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:
Y__N__N/A__	C2-c. Have work arounds been developed for the actual loading/unloading of shipments/passengers should transfer equipment fail?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:
Y__N__N/A__	C2-d. Are Y2K requirements for traders and travelers being publicized through trade associations, publications and/or readily available on the Internet?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:
Y__N__N/A__	C2-e. Are details of Y2K readiness being shared with appropriate national and international customs organizations?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:

**Template 3 – National Cross-Sector Risk Checklist**

**Responding Country:**  
**Sector:** CUSTOMS

ENERGY
Are ENERGY services used by the CUSTOMS sector? If No, proceed to FINANCE. If yes, list services (e.g. telephony, data communications)
Impact if not available (List impact by service)
How long could the FINANCE sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the ENERGY sector?
FINANCE
Are FINANCE services used by the CUSTOMS sector? If No, proceed to TELECOMMUNICATIONS. If yes, list services (e.g. electric power, gas heating/fuel)
Impact if not available (List impact by service)
How long could the CUSTOMS sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the FINANCE sector?

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TELECOMMUNICATIONS
Are TELECOMMUNICATIONS services used by the CUSTOMS sector? If No, proceed to TRANSPORTATION. If yes, list services (e.g. public transit, airplanes)
Impact if not available (List impact by service)
How long could the CUSTOMS sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the TELECOMMUNICATIONS sector?
TRANSPORTATION
Are TRANSPORTATION services used by the CUSTOMS sector? If No, proceed to next table. If yes, list services (e.g. import inspection, tariff collection)
Impact if not available (List impact by service)
How long could the CUSTOMS sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the TRANSPORTATION sector?



**Template 4 – National Risk Probability Table**

**Responding Country:**  
**Sector: CUSTOMS**

	Probability of Failure			
Customs	HI	MED	LO	N/A
Energy	HI	MED	LO	N/A
Finance	HI	MED	LO	N/A
Telecomm	HI	MED	LO	N/A
Transportation	HI	MED	LO	N/A

**Template 5 – National Risk Analysis Table**

**Responding Country:**  
**Sector:** CUSTOMS

**National Risk Analysis – Summary List of Risks Identified from Inventory and Checklist**

<b>Source Sector</b>	<b>Risks Identified</b>	<b>Impact</b>	<b>Related Sector</b>	<b>Probability of Sector Failure</b>	<b>Action Office</b>	<b>Priority</b>	<b>Contingency Strategy</b>
Customs							
Customs							
Customs							
Customs							
Customs							
Customs							
Customs							
Customs							
Customs							

**Template 6 – National Risk Analysis Matrix**

**Responding Country:**  
**Sector:** CUSTOMS

<div>↑</div> <div>IMPACT</div>	HI			
	MED			
	LO			
		LO	MED	HI
<div>PROBABILITY</div> <div>→</div>				

Template 1 - Sector Profile Table

Responding Country:  
Sector: ENERGY

					% of Organizations that have Completed Y2K Efforts for Mission Critical Operations									
					Current					Estimated as of Sept. 30, '99				
Segment	# of Organ- izations	Total Y2K Budget	Total Y2K Expenditures to Date	% of Expenditures to Budget	Assessment	Remediation	Test	Deploy	Contingency Planning	Assessment	Remediation	Test	Deploy	Contingency Planning
Coal														
Gas														
Electrical														
Natural Gas & Propane														
Nuclear														

**Template 2 – National Sector Risk Checklist****Responding Country:****Sector:** ENERGY

Energy	
Y __ N __ N/A __ If no, list the impact, if any, of this gap? HI __ MED __ LO __	E1-a. Are the metrics for a sector profile readily available? Comments:
Y __ N __ N/A __ If no, list the impact, if any, of this gap? HI __ MED __ LO __	E1-b. Are expenditures to date consistent with phases completed? Comments:
Y __ N __ N/A __ If no, list the impact, if any, of this gap? HI __ MED __ LO __	E1-c. Has senior management in each organization shown its commitment to adequate resources and funding to support their respective Y2K strategy? Comments:
Y __ N __ N/A __ If no, list the impact, if any, of this gap? HI __ MED __ LO __	E1-d. Have the organizations established a formal office from which to manage Y2K issues? Comments:
Y __ N __ N/A __ If no, list the impact, if any, of this gap? HI __ MED __ LO __	E1-e. Have sector organizations developed strategies for achieving Y2K readiness? Comments:
Y __ N __ N/A __ If no, list the impact, if any, of this gap? HI __ MED __ LO __	E1-f. Did a government or industry group with oversight responsibility for this sector recommend guidelines for dealing with Y2K issues? Comments:

Y __ N __ N/A __	E1-g. If digital automation is used in any way in this sector, have the organizations completed and prioritized inventories in all of the following areas?: Software Hardware Facilities & Equipment Business Partners
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	E1-h. Have sector organizations provided tangible evidence of having completed testing?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	E1-i. Have organizations completed deployment of Y2K modifications in their daily business operations?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	E1-j. Have formal, documented Y2K contingency plans been developed for this sector's organization?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	E1-k. Have the Contingency Plans been reviewed by independent entities with regard to issues such as Triggers, clear assignment of responsibility, testing of plans, etc.?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	E2-a. Have energy utilities conducted assessments of all embedded controllers in all generations of equipment?



If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	E2-b. Have communications facilities leased by power companies been determined to be Y2K ready?

If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:
Y__N__N/A__	E2-c. Have energy utilities examined the supply chain mechanisms to ensure continuous power generation for all energy segments ?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:
Y__N__N/A__	E2-d. Are training and drills being conducted at energy-related companies to ensure an appropriate response to any Y2K related emergency?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:
Y__N__N/A__	E2-e. Have energy companies communicated appropriate emergency information to their regional territories?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:

**Template 3 – National Cross-Sector Risk Checklist**

**Responding Country:**  
**Sector:** ENERGY

CUSTOMS
Are CUSTOMS services used by the ENERGY sector? If No, proceed to FINANCE. If yes, list services (e.g. telephony, data communications)
Impact if not available (List impact by service)
How long could the ENERGY sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the CUSTOMS sector?
FINANCE
Are FINANCE services used by the ENERGY sector? If No, proceed to TELECOMMUNICATIONS. If yes, list services (e.g. electric power, gas heating/fuel)
Impact if not available (List impact by service)
How long could the ENERGY sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the FINANCE sector?

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TELECOMMUNICATIONS
Are TELECOMMUNICATIONS services used by the ENERGY sector? If No, proceed to TRANSPORTATION. If yes, list services (e.g. public transit, airplanes)
Impact if not available (List impact by service)
How long could the ENERGY sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the TELECOMMUNICATIONS sector?
TRANSPORTATION
Are TRANSPORTATION services used by the ENERGY sector? If No, proceed to next table. If yes, list services (e.g. import inspection, tariff collection)
Impact if not available (List impact by service)
How long could the ENERGY sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the TRANSPORTATION sector?

**Template 4 – National Risk Probability Table**

**Responding Country:**  
**Sector:** ENERGY

	Probability of Failure			
Customs	HI	MED	LO	N/A
Energy	HI	MED	LO	N/A
Finance	HI	MED	LO	N/A
Telecomm	HI	MED	LO	N/A
Transportation	HI	MED	LO	N/A

**Template 5 – National Risk Analysis Table**

**Responding Country:**

**Sector:** ENERGY

**National Risk Analysis – Summary List of Risks Identified from Inventory and Checklist**

<b>Source Sector</b>	<b>Risks Identified</b>	<b>Impact</b>	<b>Related Sector</b>	<b>Probability of Sector Failure</b>	<b>Action Office</b>	<b>Priority</b>	<b>Contingency Strategy</b>
Energy							
Energy							
Energy							
Energy							
Energy							
Energy							
Energy							
Energy							
Energy							

**Template 6 – National Risk Analysis Matrix**

**Responding Country:**  
**Sector:** ENERGY

<div>↑</div> <div>IMPACT</div>	HI			
	MED			
	LO			
		LO	MED	HI
<div>PROBABILITY</div> <div>→</div>				



**Template 1 - Sector Profile Table**

**Responding Country:**

**Sector:** FINANCE

					% of Organizations that have Completed Y2K Efforts for Mission Critical Operations									
					Current					Estimated as of Sept. 30, '99				
Segment	# of Organ- izations	Total Y2K Budget	Total Y2K Expenditures to Date	% of Expenditures to Budget	Assessment	Remediation	Test	Deploy	Contingency Planning	Assessment	Remediation	Test	Deploy	Contingency Planning
Banking														
Capital Markets														
Central Bank														

**Template 2 – National Sector Risk Checklist****Responding Country:****Sector:** FINANCE

<b>Finance</b>	
Y __ N __ N/A __	F1-a. Are the metrics for a sector profile readily available?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	F1-b. Are expenditures to date consistent with phases completed?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	F1-c. Has senior management in each organization shown its commitment to adequate resources and funding to support their respective Y2K strategy?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	F1-d. Have the organizations established a formal office from which to manage Y2K issues?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	F1-e. Have sector organizations developed strategies for achieving Y2K readiness?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	F1-f. Did a government or industry group with oversight responsibility for this sector recommend guidelines for dealing with Y2K issues?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:

Y __ N __ N/A __	F1-g. If digital automation is used in any way in this sector, have the organizations completed and prioritized inventories in all of the following areas?: Software Hardware Facilities & Equipment Business Partners
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	F1-h. Have sector organizations provided tangible evidence of having completed testing?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	F1-i. Have organizations completed deployment of Y2K modifications in their daily business operations?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	F1-j. Have formal, documented Y2K contingency plans been developed for this sector's organization?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	F1-k. Have the Contingency Plans been reviewed by independent entities with regard to issues such as Triggers, clear assignment of responsibility, testing of plans, etc.?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	F2-a. Are the National/Central Bank, financial supervisory agencies, and individual institutions jointly working together to coordinate Y2K testing

	domestically and internationally?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:

Y __ N __ N/A __	F2-b. Is the National/Central Bank taking the lead with financial institutions in your economy to develop contingency and business continuity plans?
	Comments:
Y __ N __ N/A __	F2-c. Has the national government set up a “fast response” team to ensure that Y2K related difficulties that disrupt national financial segments are limited in their ability to “spill over” and negatively affect related segments?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	F2-d. Is the national government prepared to ensure the liquidity of the financial markets through a financial crisis by taking appropriate economic stabilization measures?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	F2-e. Has a government agency taken responsibility for communicating the government’s response to any Y2K predicated crisis to the financial markets and rating agencies?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:

**Template 3 – National Cross-Sector Risk Checklist**

**Responding Country:**

**Sector:** FINANCE

CUSTOMS
Are CUSTOMS services used by the FINANCE sector? If No, proceed to ENERGY. If yes, list services (e.g. telephony, data communications)
Impact if not available (List impact by service)
How long could the FINANCE sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the CUSTOMS sector?
ENERGY
Are ENERGY services used by the FINANCE sector? If No, proceed to TELECOMMUNICATIONS. If yes, list services (e.g. electric power, gas heating/fuel)
Impact if not available (List impact by service)
How long could the FINANCE sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the ENERGY sector?



TELECOMMUNICATIONS
Are TELECOMMUNICATIONS services used by the FINANCE sector? If No, proceed to TRANSPORTATION. If yes, list services (e.g. public transit, airplanes)
Impact if not available (List impact by service)
How long could the FINANCE sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the TELECOMMUNICATIONS sector?
TRANSPORTATION
Are TRANSPORTATION services used by the FINANCE sector? If No, proceed to next table. If yes, list services (e.g. import inspection, tariff collection)
Impact if not available (List impact by service)
How long could the FINANCE sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the TRANSPORTATION sector?



**Template 4 – National Risk Probability Table**

**Responding Country:**

**Sector:** FINANCE

	Probability of Failure			
Customs	HI	MED	LO	N/A
Energy	HI	MED	LO	N/A
Finance	HI	MED	LO	N/A
Telecomm	HI	MED	LO	N/A
Transportation	HI	MED	LO	N/A

**Template 5 – National Risk Analysis Table**

**Responding Country:**

**Sector:** FINANCE

**National Risk Analysis – Summary List of Risks Identified from Inventory and Checklist**

<b>Source Sector</b>	<b>Risks Identified</b>	<b>Impact</b>	<b>Related Sector</b>	<b>Probability of Sector Failure</b>	<b>Action Office</b>	<b>Priority</b>	<b>Contingency Strategy</b>
Finance							
Finance							
Finance							
Finance							
Finance							
Finance							
Finance							
Finance							
Finance							

**Template 6 – National Risk Analysis Matrix**

**Responding Country:**  
**Sector:** FINANCE

<div>↑</div> <div>IMPACT</div>	HI			
	MED			
	LO			
		LO	MED	HI
<div>PROBABILITY</div> <div>→</div>				

Template 1 - Sector Profile Table

Responding Country:  
Sector: TELECOMMUNICATIONS

					% of Organizations that have Completed Y2K Efforts for Mission Critical Operations									
					Current					Estimated as of Sept. 30, '99				
Segment	# of Organ- izations	Total Y2K Budget	Total Y2K Expenditures to Date	% of Expenditures to Budget	Assessment	Remediation	Test	Deploy	Contingency Planning	Assessment	Remediation	Test	Deploy	Contingency Planning
Internet														
Telegraph														
Telephone														
Telex														

**Template 2 – National Sector Risk Checklist****Responding Country:****Sector:** TELECOMMUNICATIONS

Telecommunications	
Y __ N __ N/A __	TE1-a. Are the metrics for a sector profile readily available?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	TE1-b. Are expenditures to date consistent with phases completed?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	TE1-c. Has senior management in each organization shown its commitment to adequate resources and funding to support their respective Y2K strategy?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	TE1-d. Have the organizations established a formal office from which to manage Y2K issues?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	TE1-e. Have sector organizations developed strategies for achieving Y2K readiness?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	TE1-f. Did a government or industry group with oversight responsibility for this sector recommend guidelines for dealing with Y2K issues?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:

Y __ N __N/A__	TE1-g. If digital automation is used in any way in this sector, have the organizations completed and prioritized inventories in all of the following areas?: Software Hardware Facilities & Equipment Business Partners
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:
Y __ N __N/A__	TE1-h. Have sector organizations provided tangible evidence of having completed testing?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:
Y __ N __N/A__	TE1-i. Have organizations completed deployment of Y2K modifications in their daily business operations?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:
Y __ N __N/A__	TE1-j. Have formal, documented Y2K contingency plans been developed for this sector's organization?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:
Y __ N __N/A__	TE1-k. Have the Contingency Plans been reviewed by independent entities with regard to issues such as Triggers, clear assignment of responsibility, testing of plans, etc.?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:
Y __ N __N/A__	TE2-a. Are telecommunications associations and related organizations in your economy working with members to share information on vendor Y2K

	readiness?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:

**Template 3 – National Cross-Sector Risk Checklist**

**Responding Country:**  
**Sector:** TELECOMMUNICATIONS

CUSTOMS
Are CUSTOMS services used by the TELECOMMUNICATIONS sector? If No, proceed to ENERGY. If yes, list services (e.g. telephony, data communications)
Impact if not available (List impact by service)
How long could the TELECOMMUNICATIONS sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the CUSTOMS sector?
ENERGY
Are ENERGY services used by the TELECOMMUNICATIONS sector? If No, proceed to FINANCE. If yes, list services (e.g. electric power, gas heating/fuel)
Impact if not available (List impact by service)
How long could the TELECOMMUNICATIONS sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the ENERGY sector?



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FINANCE
Are FINANCE services used by the TELECOMMUNICATIONS sector? If No, proceed to TRANSPORTATION. If yes, list services (e.g. public transit, airplanes)
Impact if not available (List impact by service)
How long could the TELECOMMUNICATIONS sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the FINANCE sector?
TRANSPORTATION
Are TRANSPORTATION services used by the TELECOMMUNICATIONS sector? If No, proceed to next table. If yes, list services (e.g. import inspection, tariff collection)
Impact if not available (List impact by service)
How long could the TELECOMMUNICATIONS sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the TRANSPORTATION sector?



**Template 4 – National Risk Probability Table**

**Responding Country:**  
**Sector:** TELECOMMUNICATIONS

	Probability of Failure			
Customs	HI	MED	LO	N/A
Energy	HI	MED	LO	N/A
Finance	HI	MED	LO	N/A
Telecomm	HI	MED	LO	N/A
Transportation	HI	MED	LO	N/A

**Template 5 – National Risk Analysis Table**

**Responding Country:**  
**Sector:** TELECOMMUNICATIONS

**National Risk Analysis – Summary List of Risks Identified from Inventory and Checklist**

Source Sector	Risks Identified	Impact	Related Sector	Probability of Sector Failure	Action Office	Priority	Contingency Strategy
Telecomm							
Telecomm							
Telecomm							
Telecomm							
Telecomm							
Telecomm							
Telecomm							
Telecomm							
Telecomm							

**Template 6 – National Risk Analysis Matrix**

**Responding Country:**  
**Sector:** TELECOMMUNICATIONS

<div>↑</div> <div>IMPACT</div>	HI			
	MED			
	LO			
		LO	MED	HI
<div>PROBABILITY</div> <div>→</div>				

Template 1 - Sector Profile Table

Responding Country:  
Sector: TRANSPORTATION

					% of Organizations that have Completed Y2K Efforts for Mission Critical Operations									
					Current					Estimated as of Sept. 30, '99				
Segment	# of Organ- izations	Total Y2K Budget	Total Y2K Expenditures to Date	% of Expenditures to Budget	Assessment	Remediation	Test	Deploy	Contingency Planning	Assessment	Remediation	Test	Deploy	Contingency Planning
Air														
Maritime														
Rail														
Commercial Trucking														
Public Transport														

**Template 2 – National Sector Risk Checklist****Responding Country:****Sector:** TRANSPORTATION

Transportation	
Y __ N __ N/A __	TR1-a. Are the metrics for a sector profile readily available?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	TR1-b. Are expenditures to date consistent with phases completed?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	TR1-c. Has senior management in each organization shown its commitment to adequate resources and funding to support their respective Y2K strategy?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	TR1-d. Have the organizations established a formal office from which to manage Y2K issues?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	TR1-e. Have sector organizations developed strategies for achieving Y2K readiness?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	TR1-f. Did a government or industry group with oversight responsibility for this sector recommend guidelines for dealing with Y2K issues?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:



Y __ N __N/A__	TR1-g. If digital automation is used in any way in this sector, have the organizations completed and prioritized inventories in all of the following areas?: Software Hardware Facilities & Equipment Business Partners
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __N/A__	TR1-h. Have sector organizations provided tangible evidence of having completed testing?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __N/A__	TR1-i. Have organizations completed deployment of Y2K modifications in their daily business operations?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __N/A__	TR1-j. Have formal, documented Y2K contingency plans been developed for this sector's organization?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __N/A__	TR1-k. Have the Contingency Plans been reviewed by independent entities with regard to issues such as Triggers, clear assignment of responsibility, testing of plans, etc.?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __N/A__	TR2-a. Are you supporting and facilitating the International Maritime Organization efforts to promote international awareness, Y2K knowledge-

	sharing, preparedness activities and contingency planning?
If no, list the impact, if any, of this gap? HI__MED__LO__	Comments:

Y __ N __ N/A __	TR2-b. Are you supporting and facilitating the International Civil Aviation Organization's regional and global contingency planning exercises?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:
Y __ N __ N/A __	TR2-c. Is there close cooperation between the telecommunications industry and the transportation industry in establishing contingency plans?
If no, list the impact, if any, of this gap? HI __ MED __ LO __	Comments:

**Template 3 – National Cross-Sector Risk Checklist**

**Responding Country:**  
**Sector:** TRANSPORTATION

CUSTOMS
Are CUSTOMS services used by the TRANSPORTATION sector? If No, proceed to ENERGY. If yes, list services (e.g. telephony, data communications)
Impact if not available (List impact by service)
How long could the TRANSPORTATION sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the CUSTOMS sector?
ENERGY
Are ENERGY services used by the TRANSPORTATION sector? If No, proceed to FINANCE. If yes, list services (e.g. electric power, gas heating/fuel)
Impact if not available (List impact by service)
How long could the TRANSPORTATION sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the ENERGY sector?

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FINANCE
Are FINANCE services used by the TRANSPORTATION sector? If No, proceed to TELECOMMUNICATIONS. If yes, list services (e.g. public transit, airplanes)
Impact if not available (List impact by service)
How long could the TRANSPORTATION sector function in the absence of these services? (List by service)
What information do you have to indicate Y2K preparedness of the FINANCE sector?
TELECOMMUNICATIONS
Are TELECOMMUNICATIONS services used by the TRANSPORTATION sector? If No, proceed to next table. If yes, list services (e.g. import inspection, tariff collection)
Impact if not available (List impact by service)
How long could TRASNPORTATION sector function in the absence of these services?(List by service)
What information do you have to indicate Y2K preparedness of the TELECOMMUNICATIONS sector?



**Template 4 – National Risk Probability Table**

**Responding Country:**  
**Sector:** TRANSPORTATION

	Probability of Failure			
Customs	HI	MED	LO	N/A
Energy	HI	MED	LO	N/A
Finance	HI	MED	LO	N/A
Telecomm	HI	MED	LO	N/A
Transportation	HI	MED	LO	N/A



**Template 5 – National Risk Analysis Table**

**Responding Country:**  
**Sector:** TRANSPORTATION

**National Risk Analysis – Summary List of Risks Identified from Inventory and Checklist**

Source Sector	Risks Identified	Impact	Related Sector	Probability of Sector Failure	Action Office	Priority	Contingency Strategy
Transportation							
Transportation							
Transportation							
Transportation							
Transportation							
Transportation							
Transportation							
Transportation							
Transportation							

**Template 6 – National Risk Analysis Matrix**

**Responding Country:**  
**Sector:** TRANSPORTATION

<div>↑</div> <div>IMPACT</div>	HI			
	MED			
	LO			
		LO	MED	HI
<div>PROBABILITY</div> <div>→</div>				